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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of:

Dale Franklin GRAY

Serial No.: 09/809,768

Filed: March 15, 2001

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Art Unit: 2161

Examiner: Unassigned

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Group 2100

For: APARRATUS AND METHOD FOR MACRO FINANCIAL RISK ANALYSIS
AND PROCESS

INFORMATION DISCLOSURE STATEMENT

Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

In accordance with 37 C.F.R. §§ 1.56, 1.97, and 1.98, Applicant respectfully request consideration of the references listed on the attached Form PTO-1449. Copies of the references listed are also enclosed.

Applicant respectfully request that the Examiner consider the references cited on the PTO-1449 and that the Examiner indicate that the references have been considered in this application by returning a copy of the Form PTO-1449 with the Examiner's initials in the left column per MPEP 609.


This IDS is submitted prior to the issuance of a first Office Action on the merits; therefore, it is believed that no fees are required in connection therewith. If any

fees are necessitated by the filing of this Supplemental Information Disclosure Statement, please charge the undersigned's Deposit Account No. 50-0206.

Respectfully submitted,

HUNTON & WILLIAMS

Date: June 18, 2001


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PTO/SB/08A (08-00)

Approved for use through 10/31/2002. OMB 0651-0031

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Substitute for form 1449A/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

Sheet 1 of 1

Complete if Known

Application Number	09/809,768
Filing Date	03-15-2001
First Named Inventor	Dale Franklin GRAY
Group Art Unit	2161
Examiner Name	Unassigned
Attorney Docket Number	57940.000002

U.S. PATENT DOCUMENTS

	Cite No. ¹	Number	Kind Code ² (if known)	Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
	U1	5,812,988		Sandretto	9-22-1998	
	U2	5,864,828		Atkins	01-26-1999	
	U3	5,884,287		Edesess	03-16-1999	
	U4	5,884,283		Manos	03-16-1999	
	U5	5,911,136		Atkins	06-08-1999	
	U6	5,918,217		Maggioncalda et al.	06-29-1999	
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	U12	6,078,903		Kealhofer	06-20-2000	
	U13	6,078,904		Rebane	06-20-2000	

FOREIGN PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Foreign Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ₆
		Office ³	Number ⁴	Kind Code ⁵ (if known)				
	F1		97/39415	WO	Citibank, N.A.	10-23-1997		

OTHER PRIOR ART -- NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
	P1	WILLIAM FALLOON; <i>Patent power: who owns the ideas that drive derivatives?</i> ; Risk; December 1999; pp. 22-24, 26-27; Vol. 12 No. 12; Risk Publications; London, UK.	
	P2	DALE F. GRAY; <i>Assessment of Corporate Sector Value and Vulnerability, Links to Exchange Rate and Financial Crises</i> ; World Bank Technical Paper No. 455; November 1999; The World Bank, Washington, D.C.	

Examiner
Signature

Date
Considered

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Unique citation designation number. ² Applicant is to place a check mark here if English language Translation is attached.

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